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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/020,531	12/14/2001	Sukhendu B. Dey	GENE1180-2	1163
35938	7590	09/27/2004	EXAMINER	
BIOTECHNOLOGY LAW GROUP 658 MARSOLAN AVENUE SOLANA BEACH, CA 92075			LAM, ANN Y	
			ART UNIT	PAPER NUMBER
			1641	

DATE MAILED: 09/27/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 10/020,531	<b>Applicant(s)</b> DEV ET AL.	
	<b>Examiner</b> Ann Y. Lam	<b>Art Unit</b> 1641	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 16 August 2004.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-4, 7-9, 17-20, 23, 24, 29 and 34 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-4, 7-9, 17-20, 23, 24, 29 and 34 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Election/Restrictions*

Applicant's election without traverse of invention I in the reply filed on August 16, 2004 is acknowledged.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-4, 7-9 and 17-20 and 23-24 are rejected under 35 U.S.C. 102(b) as being anticipated by Leone et al., 5,505,700.

As to claim 1, Leone et al. discloses an apparatus comprising:

a catheter (11) having at least one inflatable balloon portion (16 and 17);  
at least one infusion opening (19) for introducing the composition into a vessel;

a first electrode (35, see figure 1 and 2) on the catheter surface positioned adjacent to at least one infusion opening ;

and a second electrode (36) on the catheter surface positioned such that the infusion opening is disposed between the first electrode and the second electrode, wherein the second electrode is spaced a distance that allows an electric field to be

Art Unit: 1641

generated when a voltage is applied between the first and second electrodes after the catheter has been inserted into the vessel, wherein the electric field is sufficient in strength to electroporate cells in the vessel, see column 4, lines 49-63, and column 7, lines 41-44.

With respect to claims 2, 11, 18, an electrical source is connected to the first and second electrodes for applying a voltage between the electrodes, see column 4, line 61.

With respect to Claims 3, 12 and 19, the vessel is a blood vessel (22).

As to claims 4, 13 and 20, the first electrode (35) is formed at least in part by a biologically inert material, see column 4, lines 56-57.

As to claim 14, the second electrode is a guidewire in the catheter, see column 4, line 63.

As to claim 7, the catheter has two inflatable balloon portions (16 and 17).

As to claim 8, the at least one infusion opening (19) is between the two inflatable balloon portions (16 and 17), see Figure 2.

As to claim 9, the first electrode (35) is coincident with the at least one infusion opening (19).

As to claim 17, Leone et al. discloses an apparatus comprising:

at least one inflatable balloon portion (17) at a position other than the distal end of the catheter;

proximal to the at least one inflatable balloon portion, an infusion opening (19) for introducing a composition;

a first electrode (35) on the catheter surface positioned adjacent to or integral with the infusion opening;

and a second electrode on the catheter surface (36, near balloon 16) (see fig. 1 and 2) on the catheter positioned proximal to but spaced from the first electrode a distance that allows an electric field to be generated when a voltage is applied between the first and second electrodes after the catheter has been inserted into the vessel, wherein both the first and second electrodes are located proximal to the at least one balloon portion and the electric field is sufficient in strength to electroporate cells in the vessel, see column 4, lines 49-63, and column 7, lines 41-44.

As to claim 18, an electrical source (15) is connected to the first and second electrodes for applying a voltage between the electrodes in an amount sufficient to cause electroporation of at least one cell.

As to claim 23, the first and second electrode is separately selected to be a single electrode or multiple electrodes, see column 4, lines 57-59.

As to claim 24, the multiple electrodes are interdigitated electrodes or concentric ring electrodes, see column 4, lines 63-67.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 29, 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Leone et al., 5,505,700.

Leone et al. teach the invention substantially as claimed, see above. However, Leone et al. does not specifically disclose that the first and second electrodes are suitable to receive an electric pulse having an electroporating voltage in the range as claimed, or wherein the electric field strength is in the range as claimed.

Leone et al. however does teach that the invention can be used for iontophoresis or electroporation, see column 7, lines 39-44. It would have been obvious to vary the Leone et al. device such that the device is capable of receiving an electric pulse having an electroporating voltage or electric field strength as specifically claimed, as necessary for achieving iontophoresis or electroporation. Also, it has been held that where the general conditions of a claim are disclosed in the prior art, discovering the optimum or workable ranges involves only routine skill in the art. *In re Aller*, 105 USPQ 233.

### ***Response to Arguments***

Applicant's arguments filed August 16, 2004 have been fully considered but they are not persuasive.

Applicant argues on page 6 that electrode (35) on the Leone device is not on the surface of the catheter. Applicant states that Leone refers to electrode (35) as the internal electrode, and that although the Leone reference is unclear as to the position of the internal electrode, the reference's disclosure is consistent with the interpretation that an internal electrode means that it is internal to the catheter.

Examiner disagrees with this interpretation. Examiner agrees that Leone does not specifically define what "internal" means. However, the disclosure of Leone supports the interpretation that the designation of "internal" means that it is comparable to the internal electrode in the prior art.

Leone states that the external or return electrode as used in the prior art devices wherein the external or return electrode is outside the patient is eliminated (col. 2, lines 18-23), and thus the undesirable aspects of having to pass electrical current through body tissue is eliminated (col. 2, lines 20-21.) Instead, the invention relies on the internal electrode and another electrode, the integral electrode (col. 2, lines 24-26, and col. 4, line 59), which is also on the catheter as opposed to being outside a patient's body.

In short, the fact that Leone uses the term "internal" electrode does not necessarily mean that the electrode is internal to the catheter. Rather, the specification supports that the designation "internal" is in keeping with the prior art designation of one electrode being called the internal electrode, i.e., the electrode that drives away the oppositely charged ionic medicament, as distinct from the other electrode, the external electrode outside the patient's body in the prior art. In other words, Leone's designation of electrode (35) as the internal electrode is simply a designation of the electrode to distinguish it from the other electrode (36), i.e., the integral electrode. This interpretation is consistent with the drawings of the embodiment in figures 1 and 2 which show electrode (35) on the outside of the catheter.

Applicant also asserts on pages 6 to 7 that the shaded region on the catheter to show the catheter treatment length (34) means that the interior of the catheter is being shown and therefore electrode (35) is on the interior of the catheter. Applicant asserts that the shaded rendition of the catheter treatment length (34) does not represent porous or osmotic passageways because Leone makes it clear that the catheter contains either ports (19) or pores or osmotic passageways.

Examiner disagrees because Leone's description in column 4, lines 51-53 states that "medicament is infused either out of port(s) 19 or through pores or osmotic passageways of catheter treatment length 34". This disclosure does not mean that the catheter has either ports or pores or osmotic passageways, but not a combination. For example, if a catheter has ports and pores, then a certain amount of fluid will flow out of the ports or pores, but fluid in general will flow out of both. Moreover, it appears that the shaded region of the catheter treatment length (34) in figure 2 for example is a means to indicate what portion of the catheter is the catheter treatment length (34), rather than to indicate that the inside of the catheter is being shown. In short, that the fact that the catheter treatment length (34) is shown to be shaded does not mean that the shaded region designates that the interior of the catheter is being shown and therefore electrode (35) is on the interior of the catheter.

Applicant also argues in the last paragraph on page 7 that "[b]ecause the cited patent and accepted meanings in the art make it clear that iontophoresis and electroosmosis involve movement of molecules across a semi-permeable barrier, Figure



2 of the '700 patent should be interpreted as disclosing the interior surface of the catheter treatment length 34 without the requisite semi-permeable barrier."

It appears that the semi-permeable barrier to which Applicant refers is the porous membrane, as disclosed in column 5, line 41, in figure 3 of Leone. However, it is not clear to Examiner as to why figure 2 should be interpreted as not having a porous membrane merely because the term iontophoresis, according to Applicant, involves a semi-permeable barrier. Applicant's rationale is thus not persuasive.

Applicant also states, in the next sentence on page 7, that "[f]urther supporting this interpretation is that if the electrode depicted in Figure 2 of the '700 patent was on an exterior surface of the catheter, the electric field generated between electrodes 35 and 36 would not be across a semi-permeable barrier, but to one side of it".

This argument is not persuasive since an electrical potential or current across a semi-permeable barrier, i.e., the catheter, is not required for iontophoresis. The characterization of iontophoresis as involving electrical potential or current across a semi-permeable barrier to drive ionic medicaments toward the target treatment site, in column 1, lines 64-66, to which Applicant refers, is a characterization of iontophoresis in the art prior to the Leone device. The Leone device uses a different mechanism, which involves electrode (35) and electrode (36) which are separated by a balloon. "[A] voltage is applied such that an ionically charged medicament fluid forces the fluid to move away from a like-charged internal electrode component 35 and toward the vessel wall. The charge associated with the internal electrode 35 is developed by a voltage drop between internal electrode 35 and one or more integral electrode(s) 36." Thus, the

Art Unit: 1641

Leone device does not require that there be an electrical potential across a semi-permeable barrier for iontophoresis to occur, but only that the internal electrode (35) be of opposite charge to the ionically charged medicament.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ann Y. Lam whose telephone number is 571-272-0822. The examiner can normally be reached on M-Sat 11-6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Long Le can be reached on 571-272-0823. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

A.L.



CHRISTOPHER L. CHIN  
PRIMARY EXAMINER  
GROUP 1800-1641

9/26/04